



14040408

FR G-FIN
OMB No. 7100-0224
Average hours per response: 1.0
Approval expires March 31, 2007

OFFICIAL USE

11-37

**Notice of Government Securities Broker or Government Securities Dealer Activities
To Be Filed by a Financial Institution Under Section 15C(a)(1)(B)
of the Securities Exchange Act of 1934**

1. Check appropriate regulatory agency (ARA):

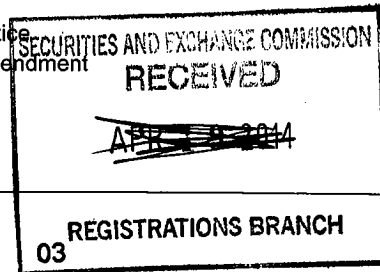
- A. ☒ Comptroller of the Currency
B. ☐ Board of Governors of the Federal Reserve System
C. ☐ Federal Deposit Insurance Corporation
D. ☐ Office of Thrift Supervision
E. ☐ Securities and Exchange Commission

2. Conducts business as:

- A. ☐ Government Securities Broker
B. ☐ Government Securities Dealer
C. ☒ Government Securities Broker and Dealer

3. Filing status of notice:

- A. ☐ Notice
B. ☒ Amendment



4. A. Full name of the financial institution:

FTN Financial Capital Markets

B. Address of principal office of financial institution:

845 Crossover Lane, Suite 150 Memphis, TN 38117

C. Address of principal office where government securities broker or government securities dealer activities will be conducted (if different from item (B)):

Same.

D. Mailing address if different from (B) or (C):

N/A

E. Name, title and telephone number of contact person with respect to this notice:

Joel Ross

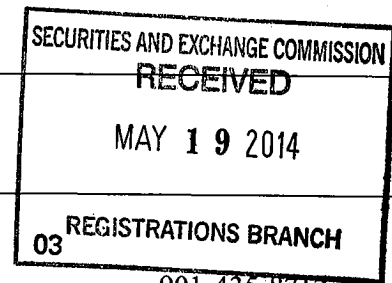
Senior VP

901-435-8712

Name

Title

Telephone



5. Does financial institution conduct, or will it conduct, government securities broker or government securities dealer activities at any location other than given in Question 4 above?

A. ☒ YesB. ☐ No

(If yes, provide addresses and describe activities.)

See Attached List

6/16

6. Furnish the name and title of each person who is directly engaged in the management, direction or supervision of any of the financial institution's government securities broker or government securities dealer activities:

Full Name

See Attached List

Last	First	Middle	Title
Last	First	Middle	Title
Last	First	Middle	Title
Last	First	Middle	Title
Last	First	Middle	Title

Note: Attach a separate Form G-FIN-4 (or, if previously filed, a copy of Form MSD-4 or Form U-4) for each person named in item 6.

7. Has any "associated person" (see definition in paragraph A.7. of the instructions) responded "yes" to any question in Item 17 of Form G-FIN-4, or "yes" to one or more questions in Items 23 through 26 of Form MSD-4 or Item 22 on Form U-4?

A. ☒ Yes

B. ☐ No

Note: The financial institution and the person executing this form are responsible for making an inquiry of all other employers of any associated person during the immediately preceding three years for the purpose of verifying the accuracy of the information furnished on Form G-FIN-4. (See 17 C.F.R. 400.4(c).) Similar requirements are applicable to Form MSD-4 and Form U-4.

8. The financial institution submitting this notice and the person executing it represent that all of the information contained herein is true, current and complete.


Please print name and title of person executing this notice:

Penny

E

Michael

VP, Compliance Officer

First	Middle	Last	Title
			5/13/2014
Manual Signature			Date

FTN FINANCIAL CAPITAL MARKETS G-FIN AMENDMENT

May 12, 2014

#5 Additional Locations

All offices below conduct government securities broker/dealer activities. They also transact business in municipals, CD's, mortgages, and money market instruments.

99 Summer Street, Suite 1730
Boston, MA 02110

500 West Madison Street, Suite 1705
Chicago, IL 60661

Sterling Plaza
5949 Sherry Lane, Suite 810
Dallas, TX 75225

Lighton Tower
7500 College Blvd, Suite 1170
Overland Park, KS 66210

Manhattan Towers
1230 Rosecrans Avenue, Suite 300
Manhattan Beach, CA 90266

One St. Louis Centre, Suite 3000
Mobile, AL 36602

444 Madison Avenue
9th Floor
New York, NY 10022

17015 N Scottsdale Road, Suite 220
Scottsdale, AZ 85255

1601 Market Street
Suite 3300
Philadelphia, PA 19103

3344 Peachtree Road
Suite 1965
Atlanta, GA 30326

1400 Old Country Road
Parkway Plaza, Suite 407
Westbury, NY 11590

50 California Street
Suite 1500
San Francisco, CA 94111

1691 Michigan Avenue
Suite 210
Miami Beach, FL 33139

9901 IH 10 West
Suite 800
San Antonio, TX 78230

888 Prospect Street
Suite 200
La Jolla, CA 92037

100 Chesterfield Business Parkway
Suite 200, Office 286
Chesterfield, MO 63005

865 Tahoe Blvd
Suite 108-C
Incline Village, NV 89451

201 International Circle
Suite 230
Hunt Valley, MD 21030

2500 City West Blvd.
Suite 300
Houston, TX 77042

28 Bridgeside Blvd.
1st Floor
Mt. Pleasant, SC 29464

633 W. 5th Street
Suite 2676
Los Angeles, CA 90071

106 E Sixth Street
Suite 900
Austin, TX 78701

***980 9th Street
16th Floor, Suite 4
Sacramento, CA 95814***

New Branch Office effective 5-12-14.

#6 Management, Direction, or Supervision

Name

Mike Kisber
Tim Romanow
Joel Ross
Steve Twersky
Jim Vogel
Don Ritcheson
Bill Buck
Jerry Hubbard
Mike Waddell
Michael Allen
Rodney Turner
Steve Walsh
Jack Rosell
Steve Zanone

Title

President
Trading Manager/Wholesale Markets
Risk Control Manager
Portfolio Strategies Manager
Interest Rates Strategist
Controller
Operations Manager
Manager, Capital Assets
Chief Operating & Financial Officer
Public Finance Manager
National Sales Manager
Sales Manager
Sales Manager
Sales Manager

Robert Hatcher

Branch Manager
Mobile, AL

Stephen Mullin

Branch Manager
Philadelphia, PA